UTILITY PATENT APPLICATION TRANSMITTAL
(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. _42P17910_
(maximum 12 characters)

First Named Inv ntor _Ansheng Liu et al._

Titl : _METHOD AND APPARATUS FOR DUAL TAPERING AN OPTICAL WAVEGUIDE_

Express Mail Label No. _EV320118510US_

17497 U.S. PTO 10/713879 111303

ADDRESS TO: Mail Stop Patent Application
Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450

APPLICATION ELEMENTS
See MPEP chapter 600 concerning utility patent application contents.

1. __X__ **Fee Transmittal Form (e.g., PTO/SB/17)**
(Submit an original and a duplicate for fee processing)

2. _____ **Applicant Claims Small Entity Status. (37 CFR 1.27)**

3. __X__ **Specification** (Total Pages _29_)
(preferred arrangement set forth below)
- Descriptive Title of the Invention
- Cross Reference to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference sequence listing, a table,
   or a computer program listing appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure

4. __X__ **Drawings(s) (35 USC 113)** (Total Sheets _8_)

5. __X__ **Oath or Declaration** (Total Pages _5_)

  a. __X__ Newly Executed (Original or Copy)

  b. ____ Copy from a Prior Application (37 CFR 1.63(d))
   (for Continuation/Divisional with Box 18 completed)

   i. ___ DELETIONS OF INVENTOR(S) Signed statement attached deleting
   inventor(s) named in the prior application, see 37 CFR 1.63(d)(2)
   and 1.33(b).

  c. ____ Unsigned.

6. _____ Application Data Sheet. (37 CFR 1.76)

7. _____ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)

8. _____ Nucleotide and/or Amino Acid Sequence Submission
   (if applicable, all necessary)
  a. ____ Computer Readable Form (CRF)

  b. ____ Specification Sequence Listing on:
   i. _____CD-ROM or CD-R (2 copies); or
   ii. _____ paper
  c. ____ Statements verifying identity of above copies

09/12/03

ACCOMPANYING APPLICATION PARTS

9. __X__   Assignm nt Pap rs (cov r sheet & d cuments(s))

10. _____   a.   Separate 37 CFR 3.73(b) Statement (where there is an assignee)

    __X__   b.   Pow r of Attorn y

11. _____   English Translation Document (if applicable)

12. __X__   a.   **Information Disclosure Statement (IDS)/PTO-1449 (or PTO/SB/08)**

    __X__   b.   **Copies of IDS Citations**

13. _____   Preliminary Amendment

14. __X__   **Return Receipt Postcard (MPEP 503) (Should be specifically itemized)**

15. _____   Certified Copy of Priority Document(s) (if foreign priority is claimed)

16. _____   Nonpublication Request under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.

17A. _____   Claim for Foreign Priority

17B. __X__   **Other:**   **separate sheet with title, express mail label number, copy of postcard, and attorney's signature**

17C. __X__   **Pursuant to 37 C.F.R. 1.136(a)(3), applicant(s) hereby request and authorize the U.S. Patent and Trademark Office to (1) treat any concurrent or future reply that requires a petition for extension of time as incorporating a petition for extension of time for the appropriate length of time and (2) charge all required fees, including extension of time fees and fees under 37 C.F.R. 1.16 and 1.17, to Deposit Account No. 02-2666.**

18.   If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below <u>and in the first sentence of the specification following the title (e.g., by way of preliminary amendment)</u>, or in an Application Data Sheet Under 37 C.F.R. 1.76:

_____ **Continuation**   _____ **Divisional**   _____ **Continuation-in-part (CIP)**
Of Prior Application No.: _____   Examiner _____   Group Art Unit _____
(which is a ___ continuation/ ___ divisional/ ___ CIP of prior application no. _____,
which is a ___ continuation/ ___ divisional/ ___ CIP of prior application no. _____) (List entire chain of priority)

Applicant(s): **Also include a Preliminary Amendment to amend the specification to claim priority.**
For CONTINUATION AND DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation <u>can only</u> be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19.   Correspondence Address
_____   Customer Number or Bar Code Label
           or   _____ (Insert Customer No. or Attach Bar Code Label
here)
__X__   Correspondence Address Below
NAME   <u>James Y. Go</u>
         <u>BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP</u>
ADDRESS   <u>12400 Wilshire Boulevard</u>
         <u>Seventh Floor</u>
CITY <u>Los Angeles</u>   STATE <u>California</u>   ZIP CODE <u>90025</u>
Country <u>U.S.A.</u>   TELEPHONE <u>(206) 292-8600</u>   FAX <u>(206) 292-8606</u>

Name (PRINT/TYPE): <u>James Y. Go</u>   Registration N .: <u>40,621</u>

Signature: Date: <u>11-13-03</u>
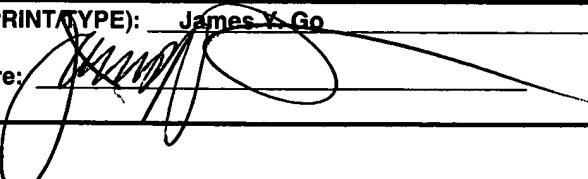
09/12/03

FEE TRANSMITTAL FOR FY 2004

(FY 2004 Begins 10/01/2003)

TOTAL AMOUNT OF PAYMENT ($)   <u>1,022.00</u>

Compl t if Known:
Applicati n No.   <u>New Patent Application</u>
Filing Date <u>Herewith</u>
First Nam d Inventor   <u>Ansheng Liu et al.</u>
Examiner Name <u>Not Yet Assigned</u>
Art Unit <u>Not Yet Assigned</u>
Attorney Docket No. <u>42P17910</u>

___ Applicant claims small entity status. See 37 CFR 1.27.

METHOD OF PAYMENT (check all that apply)

__X__ Check   _____ Credit Card   _____ Money Order   _____ Other   _____ None

__X__ Deposit Account
   Deposit Account Number :   <u>02-2666</u>
   Deposit Account Name: _____
__X__ The Director is Authorized to do the following with respect to the above-identified Deposit Account:
   _____ Charge fee(s) indicated below.
   __X__ Credit any overpayments.
   __X__ Charge any additional fees during the pendency of this application.
   __X__ Any concurrent or future reply that requires a petition for extension of time should be treated as incorporating an appropriate petition for extension of time and all required fees should be charged.
   _____ Charge fee(s) indicated below <u>except for the filing fee.</u>

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Fee Code	Fee ($)	Small Entity Fee Code	Fee ($)	Fee Description	Fee Paid
1001	770	2001	385	Utility application filing fee	770
1002	340	2002	170	Design application filing fee	____
1003	530	2003	265	Plant filing fee	____
1004	770	2004	385	Reissue filing fee	____
1005	160	2005	80	Provisional application filing fee	____

SUBTOTAL (1) $ <u>770</u>

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

		Extra Claims		Fee from below	Fee Paid
Total Claims <u>27</u>	− 20** =	<u>7</u>		X <u>18</u>	= 126
Independent Claims <u>4</u>	− 3** =	<u>1</u>		X <u>86</u>	= 86
Multiple Dependent				_____	= _____

**Or number previously paid, if greater; For Reissues, see below.

Large Entity Fee Code	Fee ($)	Small Entity Fee Code	Fee ($)	Fee Description
1202	18	2202	9	Claims in excess of 20
1201	86	2201	43	Independent claims in excess of 3
1203	290	2203	145	Multipl d pendent claim, if not paid
1204	86	2204	43	**Reissue independent claims ver original patent
1205	18	2205	9	**Reissu claims in xc ss f 20 and ov r original patent

SUBTOTAL (2) $ <u>212</u>

FEE CALCULATION (continu d)

3. ADDITIONAL FEES

Larg Entity		Small Entity			
Fee Code	Fee ($)	Fee Code	Fee ($)	Fee Description	Fee Paid
1051	130	2051	65	Surcharge - late filing fee or oath	_____
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	_____
1053	130	1053	130	Non-English specification	_____
1812	2,520	1812	2,520	For filing a request for ex parte reexamination	_____
1813	8,800	1813	8,800	Request for inter parties reexamination	_____
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	_____
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	_____
1251	110	2251	55	Extension for reply within first month	_____
1252	420	2252	210	Extension for reply within second month	_____
1253	950	2253	475	Extension for reply within third month	_____
1254	1,480	2254	740	Extension for reply within fourth month	_____
1255	2,010	2255	1,005	Extension for reply within fifth month	_____
1401	330	2401	165	Notice of Appeal	_____
1402	330	2402	165	Filing a brief in support of an appeal	_____
1403	290	2403	145	Request for oral hearing	_____
1451	1,510	1451	1,510	Petition to institute a public use proceeding	_____
1452	110	2452	55	Petition to revive – unavoidable	_____
1453	1,330	2453	665	Petition to revive - unintentional	_____
1501	1,330	2501	665	Utility issue fee (or reissue)	_____
1502	480	2502	240	Design issue fee	_____
1503	640	2503	320	Plant issue fee	_____
1460	130	1460	130	Petitions to the Commissioner	_____
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	_____
1806	180	1806	180	Submission of Information Disclosure Stmt	_____
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	40
1809	770	2809	385	For filing a submission after final rejection (see 37 CFR 1.129(a))	_____
1814	110	2814	55	Statutory Disclaimer	_____
1810	770	2810	385	For each additional invention to be examined (see 37 CFR 1.129(b))	_____
1801	770	2801	385	Request for Continued Examination (RCE)	_____
1802	900	1802	900	Request for expedited examination of a design application	_____
1504	300	1504	300	Publication fee for early, voluntary, or normal pub.	_____
1505	300	1505	300	Publication fee for republication	_____
1803	130	1803	130	Request for voluntary publication or republication	_____
1808	130	1808	130	Processing fee under 37 CFR 1.17(i) (except provisionals)	_____
1454	1,330	1454	1,330	Acceptance of unintentionally delayed claim for priority	_____

Other fee (specify) _____ _____

Other fee (specify) _____ _____

SUBTOTAL (3) $ 40

*Reduced by Basic Filing Fee Paid

SUBMITTED BY:

Typed or Printed Name: James Y. Go

Signature: _____   Dat : 11-13-03
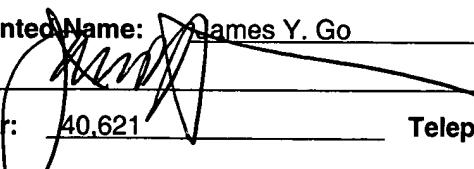
R g. Numb r: 40,621   Teleph ne Number: (206) 292-8600

Based on Form PTO/SB/17 (08-03) as modified by BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP on 09/30/03.

METHOD AND APPARATUS FOR DUAL TAPERING AN OPTICAL WAVEGUIDE

Inventors: Ansheng Liu, Doron Rubin

Respectfully submitted,

BLAKELY SOKOLOFF TAYLOR & ZAFMAN LLP
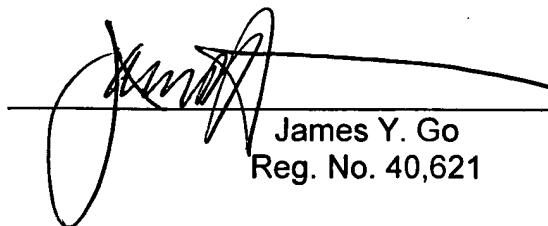
James Y. Go
Reg. No. 40,621

"Express Mail" mailing label number: EV320118510US

Date of Deposit: November 13, 2003

I hereby certify that I am causing this paper or fee to be deposited with the United States Postal Service "Express Mail Post Office to Addressee" service on the date indicated above and that this paper or fee has been addressed to Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450

Luci M. Arevalo

(Typed, or printed name of person mailing paper or fee)

Luci M. Arevalo   November 13, 2003

(Signature of person mailing paper or fee)   (Date signed)